

## FORMALITIES LETTER



\*OC00000004983267\*

UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark OfficeAddress: COMMISSIONER OF PATENT AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/487,558	01/19/2000	Robert Busby	109272.130

Wayne A. Keown, Ph.D.  
Hale and Dorr LLP  
60 State Street  
Boston, MA 02109

Date Mailed: 03/06/2000

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 690 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$4682. *(285 total claims over 20) = \$2,565. (4 indep. claims over 3) = \$150.*
  - \$4032 for 224 total claims over 20.
  - \$390 for 5 independent claims over 3.
  - \$260 for multiple dependent claim surcharge.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 5502.**

A copy of this notice **MUST** be returned with the reply.

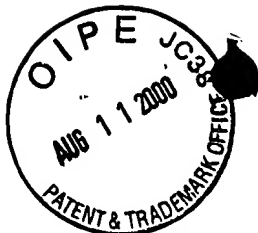
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

08/15/2000 GTEFFERA 00000003 080219 09487558

01 FC:201	345.00	CH
02 FC:203	2565.00	CH
03 FC:202	156.00	CH
04 FC:204	130.00	CH
05 FC:205	65.00	CH



SECTOR \$

PATENT - Attorney Docket No. 109.272.130

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicants: Robert Busby et al.

Serial No.: 09/487,558

Examiner: Unassigned

Filed: January 19, 2000

Group Art Unit: 1643

For: METHODS FOR IMPROVING SECONDARY METABOLITE  
PRODUCTION IN FUNGI


Box Missing Parts  
Assistant Commissioner for Patents  
Washington, D.C. 20231

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CERTIFICATE OF MAILING UNDER 37 C.F.R. 1.8(a)

I hereby certify that this correspondence and any enclosures referenced herein are being deposited with the United States Postal Service as First Class Mail in an envelope addressed to: Box Missing Parts, Assistant Commissioner for Patents, Washington D.C. 20231.

August 7, 2000  
Date

  
Tina M. Dougal

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**TRANSMITTAL LETTER**

Sir:

Enclosed in connection with the above-identified application for the appropriate action by the United States Patent and Trademark Office are the following documents:

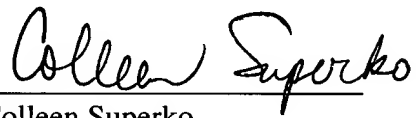
- 1.) Response To Notice To File Missing Parts Of Application (Filing Date Granted);
- 2.) Executed Combined Declaration and Power of Attorney;
- 3.) Verified Statement (Declaration) Claiming Small Entity Status (37 CFR 1.9(f) and 1.27(c)) - Small Business Concern;
- 4.) Part 2 - "Return" Copy of Notice;
- 5.) Fee Transmittal (in duplicate); and,
- 6.) Return Postcard.

Serial No. 09/487,558  
Busby et al.  
Page 2

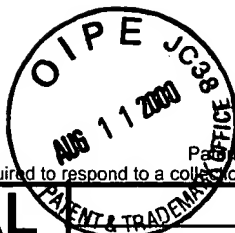
Please charge any underpayment or credit any overpayment in connection with this matter to Deposit Account No. 08-0219.

Respectfully submitted,

Dated: August 7, 2000

  
Colleen Superko  
Registration No. 39,850  
Attorney for Applicants

Hale and Dorr LLP  
60 State Street  
Boston, Massachusetts 02109  
(617) 526-6564 (Telephone)  
(617) 526-5000 (Facsimile)



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

PTO/SB/17 (12/99)  
Approved for use through 09/30/2000. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

# FEE TRANSMITTAL for FY 2000

Patent fees are subject to annual revision.  
Small Entity payments *must* be supported by a small entity statement,  
otherwise large entity fees must be paid. See Forms PTO/SB/09-12.  
See 37 C.F.R. §§ 1.27 and 1.28.

Complete if Known

TOTAL AMOUNT OF PAYMENT (\$)

3,696.00

Application Number	09/487.558
Filing Date	January 19, 2000
First Named Inventor	Robert Busby et al.
Examiner Name	Unassigned
Group / Art Unit	1643
Attorney Docket No.	109.272.130

## METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number  
08-0219

Deposit Account Name  
Hale and Dorr LLP

☒ Charge Any Additional Fee Required  
Under 37 CFR §§ 1.16 and 1.17

2. ☐ Payment Enclosed:

☐ Check ☐ Money Order ☐ Other

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Fee Code	Small Entity Fee Code	Fee (\$)	Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	\$65
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	380	216	190	Extension for reply within second month	
117	870	217	435	Extension for reply within third month	\$435
118	1,360	218	680	Extension for reply within fourth month	
128	1,850	228	925	Extension for reply within fifth month	
119	300	219	150	Notice of Appeal	
120	300	220	150	Filing a brief in support of an appeal	
121	260	221	130	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,210	241	605	Petition to revive - unintentional	
142	1,210	242	605	Utility issue fee (or reissue)	
143	430	243	215	Design issue fee	
144	580	244	290	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	690	246	345	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	690	249	345	For each additional invention to be examined (37 CFR § 1.129(b))	
Other fee (specify) _____					
Other fee (specify) _____					

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Fee Code	Small Entity Fee Code	Fee (\$)	Fee (\$)	Fee Description	Fee Paid
101	690	201	345	Utility filing fee	345
106	310	206	155	Design filing fee	
107	480	207	240	Plant filing fee	
108	690	208	345	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1) (\$)

345

### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
305	-20** =	285	9
7	-3** =	4	39
Multiple Dependent		130	130

\*\*or number previously paid, if greater; For Reissues, see below

### Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee (\$)	Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	78	202	39	Independent claims in excess of 3
104	260	204	130	Multiple dependent claim, if not paid
109	78	209	39	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)

2,851

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

500

## SUBMITTED BY

Name (Print/Type) Ayla A. Lari

Registration No. (Attorney/Agent)

43,739

Complete (if applicable)

Telephone 617-526-6000

Signature

*Ayla A. Lari*

Date

August 7, 2000

## WARNING:

Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.